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| U.S. DEPARTMENT OF COMMERCE, PATENT AND TRADEMARK OFFICE   |  | DATE: 15 December 2004 (15.12.2004)                            |
| TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371   |  | U.S. APPLICATION NO. (if known): 10/518019<br>Not Yet Assigned |
| INTERNATIONAL APPLICATION NO.: PCT/FR2003/001851   | INTERNATIONAL FILING DATE: 18 June 2003 (18.06.2002) | PRIORITY DATE CLAIMED: 21 June 2002 (21.06.2002) FR            |
| TITLE OF INVENTION: POLYNUCLEOTIDES AND POLYPEPTIDES CODED BY SAID POLYNUCLEOTIDES INVOLVED IN THE SYNTHESIS OF DIKETOPIPERAZINE DERIVATIVES   |  |  |
| APPLICANT(S) FOR DO/EO/US: GONDRY, Muriel; GENET, Roger; LAUTRU, Sylvie; PERNODET, Jean-Luc  |  |  |
| Applicant hereby submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:  |  |  |
| <p>1. <input checked="" type="checkbox"/> This is a <b>FIRST</b> submission of items concerning a filing under 35 U.S.C. 371.</p> <p>2. <input type="checkbox"/> This is a <b>SECOND</b> or <b>SUBSEQUENT</b> submission of items concerning a filing under 35 U.S.C. 371.</p> <p>3. <input checked="" type="checkbox"/> This express request to begin national examination procedures (35 USC 371(f)) The submission must include items(5), (6), (9) and (21) indicated below.</p> <p>4. <input checked="" type="checkbox"/> The US has been elected (Article 31)</p> <p>5. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2)):</p> <p style="margin-left: 40px;">a. <input checked="" type="checkbox"/> is transmitted herewith (required only if not transmitted by the International Bureau).</p> <p style="margin-left: 40px;">b. <input type="checkbox"/> has been communicated by the International Bureau.</p> <p style="margin-left: 40px;">c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US)</p> <p>6. <input checked="" type="checkbox"/> A English translation of the International Application as filed (35 U.S.C. 371(c)(2)).</p> <p>7. <input checked="" type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))</p> <p style="margin-left: 40px;">a. <input type="checkbox"/> are attached hereto (required only if not transmitted by the International Bureau).</p> <p style="margin-left: 40px;">b. <input type="checkbox"/> have been communicated by the International Bureau.</p> <p style="margin-left: 40px;">c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.</p> <p style="margin-left: 40px;">d. <input checked="" type="checkbox"/> have not been made and will not be made.</p> <p>8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).</p> <p>9. <input type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).</p> <p>10. <input type="checkbox"/> A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).</p> |  |  |
| <b>ITEMS 11 to 20 BELOW CONCERN OTHER DOCUMENT(S) OR INFORMATION INCLUDED:</b>   |  |  |
| <p>11. <input checked="" type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98.</p> <p>12. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.</p> <p>13. <input checked="" type="checkbox"/> A <b>FIRST</b> preliminary amendment.</p> <p>14. <input type="checkbox"/> A <b>SECOND</b> or <b>SUBSEQUENT</b> preliminary amendment</p> <p>15. <input type="checkbox"/> A substitute specification.</p> <p>16. <input type="checkbox"/> A change of power of attorney and/or address letter.</p> <p>17. <input checked="" type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter2 and 35 USC 1821 - 1825</p> <p>18. <input type="checkbox"/> A second copy of the published international application under 35 USC 154(d)(4)</p> <p>19. <input type="checkbox"/> A second copy of the English language translation of the international application under 35 USC 154(d)(4)</p> <p>20. <input type="checkbox"/> Other items or information:</p> <p style="margin-left: 40px;">TRANSMITTAL FORM; FEE CALCULATION; INTERNATIONAL PUBLICATION NO. WO 2004/000879 A1 WITH INTERNATIONAL PUBLICATION DATE 31 DECEMBER 2003 (31.12.2003) INCLUDING INTERNATIONAL SEARCH REPORT (IN FRENCH) WITH ENGLISH TRANSLATION, WHICH CONSISTS OF 52 PAGES INCLUDING 33 PAGES TEXTUAL SPECIFICATION, 4 PAGES OF 31 CLAIMS; 8 PAGE SEQUENCE LISTING, 7 SHEET DRAWINGS; SEQUENCE LISTING IN CRF FORMAT; PRELIMINARY AMENDMENT WITH ATTACHMENTS A &amp; B; ; UNEXECUTED INVENTOR'S DECLARATION; PCT REQUEST (IN FRENCH); PCT/IPEA/409 INTERNATIONAL PRELIMINARY EXAMINATION REPORT; PCT/IB/304 NOTIFICATION CONCERNING SUBMISSION OF PRIORITY DOCUMENT; PCT/IB/308 NOTICE INFORMING THE APPLICANT OF THE COMMUNICATION OF THE INTERNATIONAL APPLICATION TO THE DESIGNATED OFFICES; INFORMATION DISCLOSURE STATEMENT; PTO FORM 1449 WITH 4 REFERENCES.</p>  |  |  |

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| U.S. APPLICATION NO.<br>If known, no. of classes<br><b>10/518019</b> | INTERNATIONAL APPLICATION NO.<br><br>PCT/FR2003/001851 | DATE <u>15</u> December 2004 ( <u>15</u> 12.2004) |
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| 17. <u>X</u> The following fees are submitted:<br><br><b>Basic National Fee (37 CFR 1.492(a)(1)-(5):</b><br>Basic National Stage Filing Fee, Examination Fee, and Search Fee .....\$1,000.00<br><br><br><br><br><br><br><br><br><br><b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b> | <u>CALCULATIONS</u><br><br>\$ 1,000.00<br><br><br><br><br><br><br><br><br><br>\$ 1,000.00 | <u>PTO USE ONLY</u> |
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| Surcharge of \$130.00 for furnishing the oath or declaration later than ____ 20<br>____ 30 months from the earliest claimed priority date (37 CFR 1.492(e)). | \$ |  |
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| CLAIMS   | NO. FILED      | NO. EXTRA | RATE        |               |          |
|--|----------------|-----------|-------------|---------------|----------|
| TOTAL  | <u>31</u> -20= | 11        | X \$ 50.00  | \$            | 550.00   |
| INDEPENDENT  | <u>10</u> -3=  | 7         | X \$ 200.00 | \$            | 1,400.00 |
| Multiple dependent claims(s) (if applicable)   |                |           | + \$360.00  | \$            | 0.00     |
| <b>TOTAL OF ABOVE CALCULATIONS =</b>   |                |           |             | \$            | 2,950.00 |
| Reduction by 2 for asserting small entity, if applicable.<br>(Note 37 CFR 1.9, 1.27, 1.28).  |                |           |             | \$            | 0.00     |
| <b>SUBTOTAL =</b>  |                |           |             | \$            | 2,950.00 |
| Processing fee of \$130.00 for furnishing the English translation later than ____ 20<br>____ 30 months from the earliest claimed priority date (37 CFR 1.492(f)).              |                |           |             | \$            | 0.00     |
| <b>TOTAL NATIONAL FEE =</b>  |                |           |             | \$            | 2,950.00 |
| Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be<br>accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31).<br>\$40.00 per property + |                |           |             | \$            | .00      |
| <b>TOTAL FEES ENCLOSED =</b>   |                |           |             | \$            | 2,950.00 |
|  |                |           |             | Amount to be: |          |
|  |                |           |             | refunded      | \$       |
|  |                |           |             | charged       | \$       |

ATTORNEY'S DOCKET NO: 26438U

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| U.S. APPLICATION NO.<br>(if known) not yet assigned<br><b>10/518019</b> | INTERNATIONAL APPLICATION NO.<br>PCT/FR2003/001851 | DATE <u>15</u> December 2004 ( <u>15</u> .12.2004) |
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a. ☒ One check in the amount of \$ 2,950.00 to cover the above fees is enclosed.

b. ☐ Please charge my Deposit Account No. 14-0112 in the amount of \$ \_\_\_\_\_ to cover the above fees. (A duplicate copy of this sheet is enclosed.)

c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 14-0112.

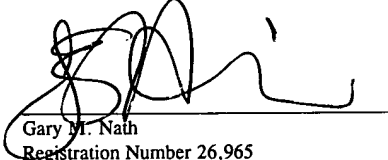
d. Fees are to be charged to a credit card ☐ WARNING: Information on this form may become public ☐ Credit Card Information should not be included on this form. ☐ Provide credit card information and authorization on PTO-2038

**NOTE:** Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed to request that the application be restored to pending status.

Send All Correspondence To:

Gary M. Nath  
 NATH & ASSOCIATES PLLC  
 1030 15<sup>th</sup> Street, N.W.  
 Sixth Floor  
 Washington, D.C. 20005

(202) 775-8383 (phone)  
 (202) 775-8396 (fax)

  
 Gary M. Nath  
 Registration Number 26,965  
 Tanya E. Harkins  
 Registration No. 52,993  
 Customer No. 20529

10/518019

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DT05 PCT/PTO 15 DEC 2004

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

GONDRIY et al.

International Application No. PCT/FR2003/001851

Serial No. NOT YET ASSIGNED

International Filing Date: 18 June 2003 (18.06.2003)

Filed: December 15, 2004

For: **POLYNUCLEOTIDES AND POLYPEPTIDES CODED BY SAID POLYNUCLEOTIDES INVOLVED IN THE SYNTHESIS OF DIKETOPIPERAZINE DERIVATIVES**

TRANSMITTAL LETTER

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

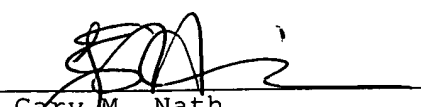
Sir:

Submitted herewith for filing in the U.S. Patent and Trademark Office is the following:

- (1) Transmittal Letter;
- (2) Transmittal Letter To U.S. Designated/Elected Office (DO/EO/US) Concerning Filing under 35 U.S.C. 371
- (3) International Publication Number WO 2004/000879 A1; International Publication Date: 31 December 2003 (31.12.2003) including International Search Report (in French) with English translation, which consists of 52 pages including:
  - 33 pages Textual Specification,
  - 4 pages of 31 claims,
  - 8 pages of Sequence Listing;
  - 7 sheets of Drawings;
- (4) Sequence Listing in CRF format;
- (5) **Preliminary Amendment with Attachments A & B to be examined;**
- (6) Unexecuted Inventor's Declaration;
- (7) PCT Request (in French);
- (8) PCT/IPEA/409 International Preliminary Examination Report (in French);
- (9) PCT/IB/304 Notification Concerning Submission of Priority Document (in French);
- (10) PCT/IB/308 Notice Informing the Applicant of the Communication of the International Application to the Designated Offices;
- (11) Information Disclosure Statement;
- (12) PTO Form 1449 with 4 references;
- (13) Check No. 22254 \$2,950.00 for Basic National Stage Fee, Examination Fee, and Search Fee;
- (14) Postcard for early notification of serial number.

Respectfully submitted,  
**NATH & ASSOCIATES PLLC**

By:

  
Gary M. Nath  
Registration No. 26,965  
Tanya E. Harkins  
Registration No. 52,993  
Customer No. 20529

Date: December 15, 2004  
NATH & ASSOCIATES PLLC  
1030<sup>th</sup> 15<sup>TH</sup> Street, NW - 6<sup>th</sup> Floor  
Washington, D.C. 20005  
GMN/TEH/ng/PCT.NATLphase.TEH